

Description:

Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support materials generated during the process to develop and approve the regulation, standard, or guideline, along with current information documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.

Disposition Instructions:

Item a(1): Published regulations, standards, and guidelines - Non-electronic

- **Permanent**

- Close inactive records upon promulgation of rule or approval of guideline.
- Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.

Item a(2): Published regulations, standards, and guidelines - Electronic

- **Permanent**

- Close inactive records upon promulgation of rule or approval of guideline.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.64-1235.50 or standards applicable at the time.

Item a(3): Unpublished regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives

- **Disposable**

- Close file upon transfer to the National Archives.
- Retain after electronic record copy is successfully transferred to the National Archives.

Item b(1): Unpublished regulations, standards, and guidelines

- **Disposable**

- Close inactive records upon decision to not publish the regulation, standard, or guideline.
- Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.

Each records schedule item has something else that is important: a set of disposition instructions. The disposition instructions describe the life cycle of the specific files covered by the records schedule item.

Records schedules are called "schedules" because they provide a time line for the life cycle of your files.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information

Open		Closure Trigger	Closed		Final Disposition
Creation or Receipt	Distribution, Use, Maintenance	Fixed or Discretionary	On-Site Retention	Off-Site Retention	Destruction or Permanent Transfer

This life cycle is divided into four stages.

- open
- closure trigger
- closed
- final disposition

Every file has the same four stages in its life cycle. But the length of time that each file remains in each stage can be very different. That's where the disposition instructions come in. Here's how the life cycle works.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information

Open		Closure Trigger	Closed		Final Disposition
Creation or Receipt	Distribution, Use, Maintenance	Fixed or Discretionary	On-Site Retention	Off-Site Retention	Destruction or Permanent Transfer

When a file is created or received, its life cycle begins. At that point the file is "open." The file stays open as long as it is needed for current Agency business.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information

Open		Closure Trigger	Closed		Final Disposition
Creation or Receipt	Distribution, Use, Maintenance	Fixed or Discretionary	On-Site Retention	Off-Site Retention	Destruction or Permanent Transfer

When a file is no longer needed for current Agency business, an event occurs which results in closing the file. That event is called a "closure trigger." The closure trigger is a key point in the life cycle of a file, because the closure trigger must occur before the file can be closed.

As you might suppose, different files have different closure triggers. That makes sense, because files are used for different purposes and document different activities. The point at which a file is no longer needed depends on the business process for which the file is used.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information

Open		Closure Trigger	Closed		Final Disposition
Creation or Receipt	Distribution, Use, Maintenance	Fixed or Discretionary	On-Site Retention	Off-Site Retention	Destruction or Permanent Transfer

Some closure triggers are predetermined by the business process. For example:

A contract management file is no longer needed when the contract has ended and the final payment for the overall contract has been made.

A supervisor's personnel file is no longer needed when the employee being supervised has departed.

These predetermined events are called "fixed" closure triggers. For files with fixed closure triggers, you always know what event will trigger the closing of the file.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information

Open		Closure Trigger	Closed		Final Disposition
Creation or Receipt	Distribution, Use, Maintenance	Fixed or Discretionary	On-Site Retention	Off-Site Retention	Destruction or Permanent Transfer

When the event that triggers the closing of the file is not predetermined, the records custodian has the discretion to determine when to close the file. This is called a "discretionary" closure trigger. The closure trigger occurs on the day that the records custodian makes a conscientious determination that the file is no longer needed for current work and closes the file by assigning the close date.

<http://intranet.epa.gov/ow/records>

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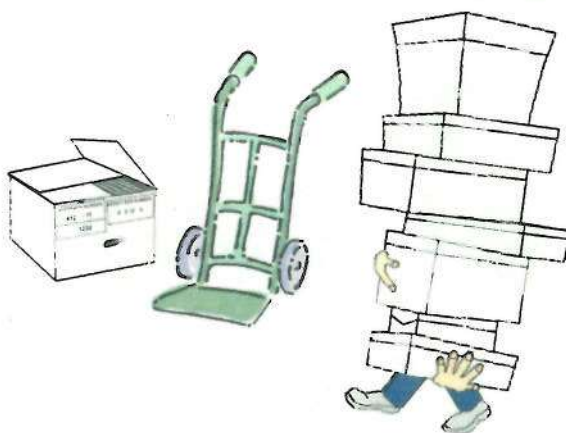
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Some closed files can be retired. That means they are sent off-site to be stored at Federal Records Centers, or "FRCs." FRCs are huge warehouses where the boxed files are kept on shelves. While the files are at the FRC, they remain in the legal custody of EPA. You can get them back if you need them.

<http://intranet.epa.gov/ow/records>

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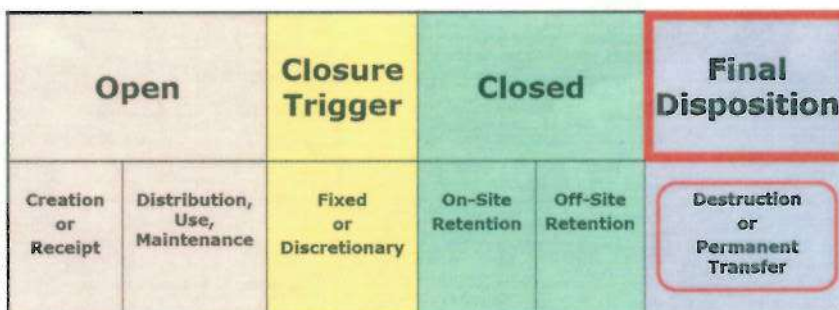
Retiring Files

Sending files to an FRC is called "retiring" the files. Please be aware that the terms "retiring" and "archiving" do not have the same meaning. To avoid confusion, please use the term "retiring" to refer to sending closed files to off-site storage.

<http://intranet.epa.gov/ow/records>

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Life Cycle of Recorded Information



When files reach the end of their retention period, they enter the "final disposition" stage of their life cycle. They are ready for final disposition action. That action depends on whether the files are "temporary" or "permanent."

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If the files are temporary, they are disposable. At the end of their retention period, they are destroyed.

Temporary files that are stored on site are recycled, shredded, or deleted according to Office of Water guidance for destroying recorded information.

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NOTICE OF ELIGIBILITY FOR DISPOSAL		DATE OF NOTICE	DISPOSAL DATE
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with 35 CFR 1228.170(b), they will be destroyed only with the concurrence of the agency having legal custody of the records. If you concur with the destruction of these records, sign and date this notice in the appropriate blocks below, return the notice to the Federal Records Center, and annotate your SF 135 (all copies) to show that the records have been destroyed.</p> <p>REMARKS</p>		RECORDS DESCRIPTION	
		ACCESSION NUMBER	SUBGROUP
		DISPOSAL AUTHORITY	VOLUME (1/)
		SERIES DESCRIPTION, INCLUSIVE DATES, AND BOX NUMBERS (if applicable)	
		ADDRESS OF FEDERAL RECORDS CENTER	
SIGNATURE	TITLE	DATE	
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		NA 13001 (Rev. 6-99)	

Temporary files that are retired to off-site storage are destroyed by the Federal Records Center. First, the FRC notifies EPA when the files are eligible to be destroyed. After it receives concurrence, the FRC destroys the files.

<http://intranet.epa.gov/ow/records>

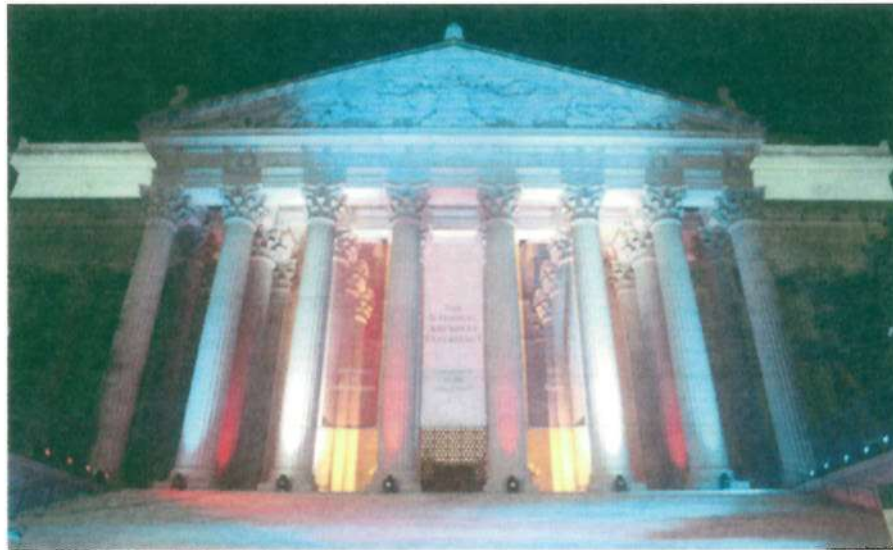
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If the files are permanent, they are never destroyed. "Permanent" means "as long as the Republic stands."

<http://intranet.epa.gov/ow/records>

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that is, as long as there is a United States government.

<http://intranet.epa.gov/ow/records>

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At the end of their retention period at EPA, the files are transferred to the National Archives and Records Administration (or "NARA") for historic preservation.

<http://intranet.epa.gov/ow/records>

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Once they are transferred, the files are no longer under the control of the EPA. They are in the legal custody of the National Archives, and they are made available to the public for research.

<http://intranet.epa.gov/ow/records>

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File Survey Form

The file survey form can be customized for each Office of Water program office and the Immediate Office. Follow the instructions in the form to select your organization at the program office level, division level, or branch level.

Download the [File Survey form](#)
(Last updated April 15, 2015)



Individual file structures should be reviewed at least once a year and kept up to date by adding or deleting records schedule items as needed. In addition, file structures must be updated when job responsibilities change.

Let's go on to the file survey. The file survey is the tool you will use to create your individual file structure. It is located under the File Plan Tools and Training heading on the *ow/records* site.

<http://intranet.epa.gov/ow/records>

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The file survey tool is an Excel form with five tabs. Don't worry if you haven't used Excel before. All you have to do is follow the instructions in the form, and click, and type.

<http://intranet.epa.gov/ow/records>

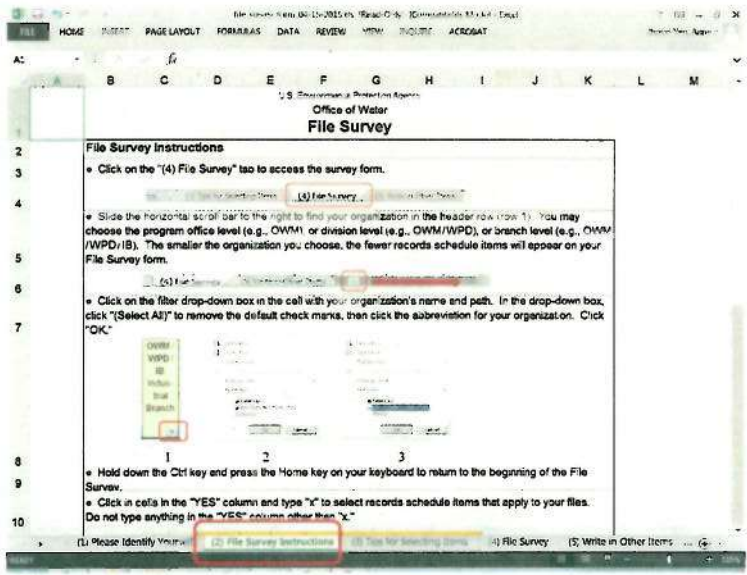
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Tab number 1 asks you to "Please Identify Yourself" by completing five blocks for:

- 1 the current date,
- 2 your name,
- 3 your organization,
- 4 your building name and room number, and
- 5 the name and telephone number of your Records Management Contact.

<http://intranet.epa.gov/ow/records>

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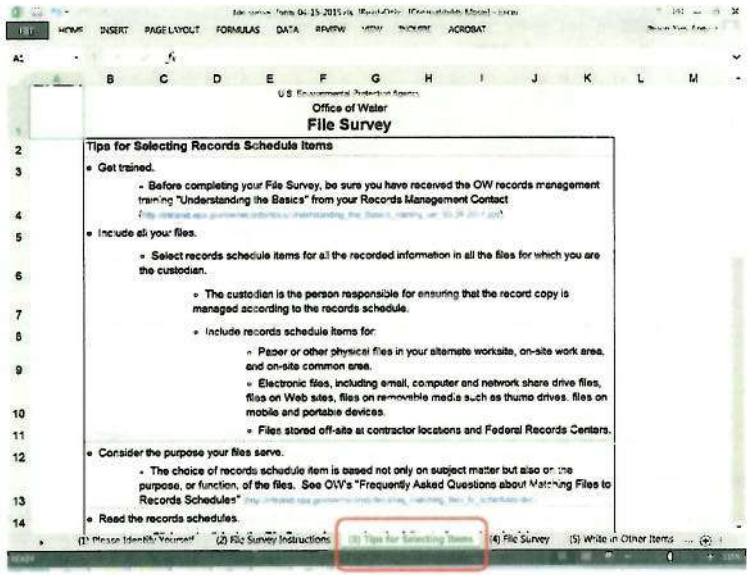
File Survey Instructions

- Click on the "(4) File Survey" tab to access the survey form.
- Slide the horizontal scroll bar to the right to find your organization in the header row (row 1). You may choose the program office level (e.g., OWM) or division level (e.g., OWM/WPD), or branch level (e.g., OWM/WPD/IB). The smaller the organization you choose, the fewer records schedule items will appear on your File Survey form.
- Click on the filter drop-down box in the cell with your organization's name and path. In the drop-down box, click "(Select All)" to remove the default check marks, then click the abbreviation for your organization. Click "OK."
- Hold down the Ctrl key and press the Home key on your keyboard to return to the beginning of the File Survey.
- Click in cells in the "YES" column and type "Y" to select records schedule items that apply to your files. Do not type anything in the "YES" column other than "Y."

Tab number 2 has illustrated instructions for completing your survey.

<http://intranet.epa.gov/ow/records>

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Tips for Selecting Records Schedule Items

- Get trained.
 - Before completing your File Survey, be sure you have received the OW records management training "Understanding the Basics" from your Records Management Contact.
- Include all your files.
 - Select records schedule items for all the recorded information in all the files for which you are the custodian.
 - The custodian is the person responsible for ensuring that the record copy is managed according to the records schedule.
 - Include records schedule items for:
 - Paper or other physical files in your alternate workspace, on-site work area, and on-site common area.
 - Electronic files, including email, computer and network share drive files, files on Web sites, files on removable media such as thumb drives, files on mobile and portable devices.
 - Files stored off-site at contractor locations and Federal Records Centers.
- Consider the purpose your files serve.
 - The choice of records schedule item is based not only on subject matter but also on the purpose, or function, of the files. See OIV's "Frequently Asked Questions about Matching Files to Records Schedules."
- Read the records schedules.

Tab number 3 has tips to help you select the correct records schedule items for your files.

<http://intranet.epa.gov/ow/records>

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<http://intranet.epa.gov/ow/records>

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[illegible]

<http://intranet.epa.gov/ow/records>

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[illegible]

To select your organization:

- Slide the horizontal scroll bar to the right.

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1

2

3

- Find your organization in the header row.
- Click on the filter drop-down box.
- Click "(Select All)" to remove the default check marks, then click the **abbreviation** for your organization. Click "OK."

<http://intranet.epa.gov/ov/records>

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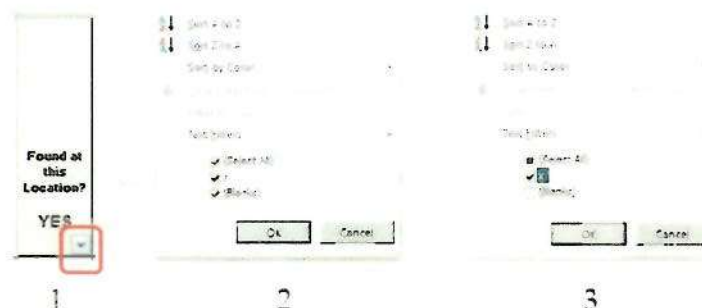
Found at this Location?	Found at this Location?	Click Below on "L" for Disposition Label	Click Below on "S" for Records Schedule	Office of Water Allocation Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item
YES	NO						
<input checked="" type="checkbox"/>		L	S	CONT	2025	1001/2008	Contract Management Records • Contractual Contracting Officers Representative (COR) • Formerly called Project Officer (PO)

Hold down the Ctrl key and press the Home key on your keyboard to return to the beginning of the file survey. Use the vertical scroll bar to move through the survey form.

To select a records schedule item on the survey, click in the cell in the "YES" column, on the same row as the item, and type "x."

<http://intranet.epa.gov/ow/records>

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When you are finished selecting items on your survey, you can generate your individual file structure.

It takes two key strokes and four clicks:

- Hold down the Ctrl key and press the Home key to return to the beginning.
- Click on the filter drop-down box in the "YES" column. Click "(Select All)" to remove the default check marks, then click on "x." Click "OK."

<http://intranet.epa.gov/ow/records>

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[illegible]

And there you are Your own file structure, made up of the items you selected in the "YES" column on your file survey.

<http://intranet.epa.gov/ow/records>

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The image shows a large, multi-colored grid chart, likely a calendar or project management tool. The grid is divided into columns labeled A through G and rows labeled 1 through 12. The highlighted section is in column A, rows 1 through 12. The grid is color-coded: columns A and B are yellow, C and D are orange, E and F are green, and G is blue. The rows are labeled 1 through 12. The chart contains various text entries, including dates, names, and project descriptions. A red rectangular box highlights the section in column A, rows 1 through 12.

Now let's look at some of the features in the file survey that can help you select records schedule items.

The row for each records schedule item has a cell with an "S" for "schedule." When you click on the "S" you will be connected to the full text of the records schedule for that records schedule item.

This is where you will find:

- the Description field with a general explanation of the files covered by the schedule;
- the records schedule items, located below the "Disposition Instructions" heading, that describe the specific files covered by the records schedule; and
- and the Guidance field which contains information such as alternate names of files, files that are excepted from coverage by that schedule, and cross-references to related records schedules.

<http://intranet.epa.gov/ow/records>

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	A	B	C	D	E	F	G	H	I	J	K
	Found at this location?	Found at this location?	Click Below on "L" for Disposition Label	Click Below on "S" for Records Schedule	Office of Water Alpha-Numeric Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item			Records Schedule Item Status
1	YES	NO			WFO	0060c	8/31/2014	Bibliographic and Reference Systems - Electronic data			Final
217			L	S	WFO	0060a	2/28/2015	Information Tracking Systems - Records copy			Final
221			L	S	WFO	0064c	7/1/2014	Electronic Bulletin Boards - Electronic data			Final
227			L	S							

Some records schedule items have bracketed notes to bring information to your attention. For example, if you select an item that is only to be used by a custodian of an electronic information system, such as "Electronic software program," you should provide the name of the system in the space at the end of the survey.

<http://intranet.epa.gov/ow/records>

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	A	B	C	D	E	F	G	H	I	J	K	L	M	
	Found at this location?	Found at this location?	Click Below on "L" for Disposition Label	Click Below on "S" for Records Schedule	Office of Water Alpha-Numeric Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item			Records Schedule Item Status	Disposition Trigger	Retention Period	Final Disposition Action
	YES	NO						Grants and Other Program Support Agreements - Records copy			Final			
								Contract Management Records - Corresponding Contract ID			Final			
								Grants and Other Program Support Agreements - Records copy			Final	Close when agreement expires	10 years	Destroy
								Contract Management Records - Corresponding Contract ID			Final	Close when the contract period is over	10 years, 40 months	Destroy

At the top of the survey form is a "+" symbol. Clicking on this "+" will expand columns to show the closure trigger, retention period, and final disposition action for each records schedule item. These are the disposition instructions that we discussed earlier. The disposition instructions describe the life cycle of the specific files covered by the records schedule item.

<http://intranet.epa.gov/ow/records>

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Office of Water Alpha-betic Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item	Records Schedule Item Status	Closure Trigger
ETHI	0072b	12/31/2013	Non-Federally Funded Travel Files - Statements, forms, and other records - Includes records used to compile the Semiannual Expense Reports for Non-Federally Funded Travel.	Final	Close when report has been submitted to Office of Government Ethics (OGE)
PROG	185a	3/30/2007	Collections of Quality Assurance Project Plans (QAPPs) - Approved or accepted QAPPs	(to be superseded)	Close when plan is approved or when last amendment or last review is completed.

How do disposition instructions help you select the correct records schedule items for your files?

First, the closure trigger should fit your business process.

For example, if you select the records schedule item with the closure trigger "Close when report has been submitted to Office of Government Ethics (OGE)," the file should contain documents that will be submitted to OGE. And the file should be able to be closed, that is, not needed for current Agency business, once those documents have been submitted.

A records schedule item with a closure trigger that does not fit your work, may not be the correct item for your file. For example, the closure trigger "Close when plan is approved," would not fit a file that doesn't have anything to do with an actual plan.

<http://intranet.epa.gov/ow/records>

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Office of Water Alpha-betic Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item	Records Schedule Item Status	Closure Trigger	Total Retention Period after Close Date	Final Disposition Action
ADM1	167a	3/31/2015	Transitory Files - Record copy	(to be superseded)	Close when end of month occurs and when no longer needed for current Agency business.	50 year (60 months)	Destroy

Next, the retention period and the final disposition action should fit the value of your files after they are closed.

Here are some examples.

A superseded working draft that was not circulated for comment, or a reminder to schedule a room for a meeting, would not be needed to protect EPA's legal and financial rights and would not have permanent historic value. They could be destroyed at the end of the 6-month retention period for Transitory Files.

<http://intranet.epa.gov/ow/records>

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Office of Water Alpha-numeric Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item	Records Schedule Item Status	Closure Trigger	Total Retention Period after Close Date	Final Disposition Action
GRAN	1003b	12/31/2014	Grants and Other Program Support Agreements - Other grants and program support agreements [other than GRAN 1022a]	Final	Close when agreement is closed out or when action is completed	10 years	Destroy

Grants files don't have permanent historic value. But they do have to be kept until the end of the statute of limitations on civil false claims cases. They are retained for 10 years after the grant agreement is closed out, and then destroyed.

<http://intranet.epa.gov/ow/records>

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Office of Water Alpha-numeric Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item	Records Schedule Item Status	Closure Trigger	Total Retention Period after Close Date	Final Disposition Action
REGS	149a(1)	1/31/2011	Regulations, Standards and Guidelines - Published regulations, standards and guidelines - Nonelectronic [includes microform record copies]	To be superseded	Close when rule is promulgated or guideline is approved	20 years	Permanently Transfer

Published regulations do have value in documenting the history of EPA. Their final disposition action is "Permanently Transfer." At the end of their retention period, they are transferred to the legal custody of the National Archives for permanent historic preservation.

<http://intranet.epa.gov/ow/records>

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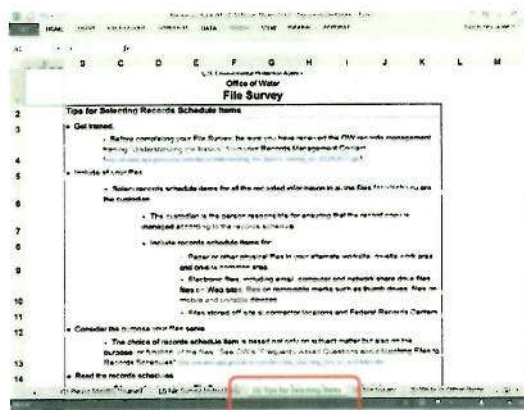
Office of Water Alpha-numeric Function Code	Records Schedule Number and Item Designator	Records Schedule Version Date	Records Schedule Title and Records Schedule Item	Records Schedule Item Status	Closure Trigger	Total Retention Period after Close Date	Final Disposition Action
REGS	149a(2)	1/31/2011	Regulations, Standards and Guidelines Published regulations, standards and guidelines Electronic	(to be superseded)	Closes when rule is promulgated or guideline is approved	15 years	Permanent Transfer

If you select a "Permanently Transfer" item for an electronic file, please be sure that file contains the final, official record copy. Permanent electronic files must be kept in readable condition and unaltered throughout their life cycle.

If your electronic file is a duplicate that you are using for convenient reference, or a word processing copy that you are revising to create a final, printed product, then your electronic file is not the permanent record copy that will be transferred to the National Archives. For electronic files that are not permanent, please select a record schedule item with the final disposition action "Destroy."

<http://intranet.epa.gov/ow/records>

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While you are moving through your survey, you can click back to tab number 3 to see tips and reminders. This tab answers questions about working papers and drafts, and links you to more guidance at:

Frequently Asked Questions about Matching Files to Records Schedules
http://intranet.epa.gov/ow/records/docs/faq_matching_files_to_schedules.doc

and the

Records Cheat Sheet
http://intranet.epa.gov/ow/records/docs/ow_records_cheat_sheet_05-23-2007.doc

<http://intranet.epa.gov/ow/records>

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Reminder



Your survey should represent all your files. Select records schedule items for all the recorded information for which you are the custodian.

Include:

- Paper or other physical files in your alternate worksite, on-site work area, and on-site common area.
- Electronic files, including:
 - email;
 - computer and network share drive files;
 - files on Web sites, including social media, such as YouTube videos and facebook postings;
 - files on removable media such as USB drives; and
 - files on mobile and portable devices.
- Files stored off-site at contractor locations and Federal Records Centers.

<http://intranet.epa.gov/ow/records>

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U.S. Environmental Protection Agency
Office of Water
File Survey

Other Records Schedule Items

If you have files which match records schedule items that are not included on the File Survey form, please list those other records schedule items in the light blue spaces below. For resources to help you search for records schedule items, click on the links in the blue cells.

If you have files which you cannot match to records schedule items, please briefly describe the files. Your Records Management Contact will assist you.

All EPA Records Schedules Arranged by 4-Letter Function Code	EPA National Records Management Prog. Records Schedules Home Page Search and Browse Records Schedules	EPA National Records Management Prog. Records Help Desk (202) 556-1484

(1) File Survey Introduction (2) List by Schedule Item (3) File Survey (4) Other Records

The survey form will only show the records schedule items that are on the organization file structure you have selected. If you have files that don't match any records schedule items on the file survey form, please go to tab number 5.

This tab contains links to resources to help you search for additional records schedule items. Clicking on "All EPA Records Schedules" will link you to all the records schedules used across the entire Agency.

A little farther down in this tab is space for you to type:

- a brief description of any files you have not been able to match to a records schedule item,
- questions for follow up with your Records Management Contact; and
- the names of electronic information systems for which you are the custodian.

<http://intranet.epa.gov/ow/records>

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When you have completed your file survey, save the entire Excel file. Send it as an email attachment to your Records Management Contact. Your Records Management Contact will review it, discuss any follow-up questions with you, and forward the survey to the Office of Water Records Liaison Officer for data entry in the file structure spreadsheet.

<http://intranet.epa.gov/ow/records>

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The spreadsheet is the centralized tool for maintaining file structures for all individuals and organizations in the Office of Water. It is available on the [ow/records](http://intranet.epa.gov/ow/records) site.

The individual file structure you generated by selecting "x" in the "YES" column is for your temporary reference while your survey is being reviewed and submitted to the Records Liaison Officer. Once your survey has been entered in the file structure spreadsheet, always refer to the spreadsheet on the [ow/records](http://intranet.epa.gov/ow/records) site for the latest version of your individual file structure.

<http://intranet.epa.gov/ow/records>

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1 2 3

- Click on the filter drop-down box in the column with your name. Click "(Select All)" to remove the default check marks, then click the box on the line that starts with "OW/". Click "OK."
- Hold down the Ctrl key and press the Home key on your keyboard to return to the beginning of the spreadsheet. Use the vertical scroll bar to see the records schedule items on your individual file structure.

<http://intranet.epa.gov/ow/records> 65

Requirement 3: Match your files to your file structure.

Once you have created your file structure, you can put it to work for you by matching your files to the records schedule items you have selected. You can do this with ready-to-print disposition labels from the *ow/records* site.

<http://intranet.epa.gov/ow/records>

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U.S. EPA Office of Water
File Structure

Each records schedule item on the Office of Water file structure has a separate disposition label. Access the disposition labels by clicking the "L" cells in the file structure spreadsheet.

For physical files, place the disposition label on the front, in the upper left corner, of each file folder.

<http://intranet.epa.gov/ow/records>

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U.S. EPA Office of Water
File Structure

For electronic files, incorporate the file code that is in the upper right corner of the label into the electronic file name or directory name.

<http://intranet.epa.gov/ow/records>

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Detailed information on finding and applying the disposition labels is on the *ow/records* site at:

Disposition Labels Guidance

http://intranet.epa.gov/ow/records/docs/disposition_labels_guidance.doc

Frequently Asked Questions About Attaching File Codes to Electronic Files on the Share Drive

http://intranet.epa.gov/ow/records/docs/share_drive_faq.doc

Label Lane presentation from the

Office of Water Records Management Program Open House

<http://intranet.epa.gov/ow/records/docs/openhouse-2.pdf>

<http://intranet.epa.gov/ow/records>

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Requirement 4: Update your file structure.

The Office of Water is a dynamic organization. New activities begin. Workgroups are formed. Existing projects come to an end. Responsibilities shift. People retire. Detailees arrive. All these changes can affect the types of files in your custody.

If your job responsibilities change, if you move to a new branch, if you inherit files from someone who has left, please review your file structure.

<http://intranet.epa.gov/ow/records>

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Individual File Structure Update

Office of Water

Updating your file structure by adding or deleting records schedule items is fast and simple with the Individual File Structure Update form on the *ow/records* site:

http://intranet.epa.gov/ow/records/docs/file_structure_update_form.doc

Follow the instructions in the form, and send the completed form to your Records Management Contact.

If you move outside your program office, or go on detail, you may have to complete a new file survey. Consult your Records Management Contact, or read the guidance on the *ow/records* site, to learn whether to submit a new file survey or an update form.

Always refer to the electronic file structure spreadsheet on the *ow/records* site for the latest version of your individual file structure.

<http://intranet.epa.gov/ow/records>

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Requirement 5: Follow disposition instructions.

The disposition instructions for your files are printed on the disposition labels.

<http://intranet.epa.gov/ow/records>

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Each label displays disposition instructions for a records schedule item on the Office of Water file structure, with space to enter disposition dates.

405	CONT 202b		
Contract Management Records			
Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)			
Close when final payment for the overall contract is made.	+ 1 year	+ 5 years, 3 months	
↓	↓	↓	
Close Date	Retire Date	Final Disposition Date	
Final Disposition Action: <input checked="" type="checkbox"/> Destroy or <input type="checkbox"/> Permanently Transfer			
United States Environmental Protection Agency 05/31/2007			

By following the instructions, you can manage the closure, retention, and final disposition of your files according to the records schedule items.

<http://intranet.epa.gov/ow/records>

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405	CONT 202b		
Contract Management Records			
Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)			
Close when final payment for the overall contract is made.	+ 1 year	+ 5 years, 3 months	
↓	↓	↓	
Close Date	Retire Date	Final Disposition Date	
Final Disposition Action: <input checked="" type="checkbox"/> Destroy or <input type="checkbox"/> Permanently Transfer			
United States Environmental Protection Agency 05/31/2007			

405	CONT 202b		
Contract Management Records			
Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)			
Close when final payment for the overall contract is made.	+ 1 year	+ 5 years, 3 months	
↓	↓	↓	
Close Date	Retire Date	Final Disposition Date	
10/13/2011			
Final Disposition Action: <input checked="" type="checkbox"/> Destroy or <input type="checkbox"/> Permanently Transfer			
United States Environmental Protection Agency 05/31/2007			

When the closure trigger occurs, close the file. Enter the close date in the space on the disposition label.

Use the disposition date calculator on the [ow/records](http://intranet.epa.gov/ow/records) site to calculate the disposition dates from the retention formula on the label. When the final disposition date occurs, take the final disposition action that is printed on the label.

<http://intranet.epa.gov/ow/records>

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Destroying Records

The instructions on your disposition label tell you its retention period and is ready for final disposition label is "destroy," please follow the Office of Water Information.

EPA and Office of Water guidance and policy require that destruction of records. The Records Destruction Form below has been customized for the Office of Water. To complete your disposition label, check boxes, and drop-down form fields to save you time in completing the form.

Along with the Records Destruction Form are a checklist to be sure that your file is eligible to be destroyed, block-by-block instructions for completing the form, and a quality control checklist for proofing the completed form.

Download the [Office of Water Records Destruction Form with Instructions for Destroying Recorded Information](#)

If the final disposition action is "Destroy," follow the Instructions for Destroying Recorded Information on the [ow/records](#) site. The Office of Water requires a records destruction form to document the proper destruction of files with a retention period of one year or more.

<http://intranet.epa.gov/ow/records>

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306-114

REGS 149a(1)

Regulations, Standards, and Guidelines

Published regulations, standards, and guidelines -
Nonelectronic

[Includes microform record copies]

Close when rule is
promulgated or guideline is
approved.

+ 1 year

+ 19 years

Close Date

Retire Date

Final Disposition Date

Final Disposition Action: ☐ Destroy or ☒ Permanently Transfer

United States Environmental Protection Agency

02/29/2008

If the final disposition action is "Permanently Transfer," contact your Records Management Contact for assistance in transferring the files to the National Archives.

<http://intranet.epa.gov/ow/records>

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You can use the disposition instructions on the labels to manage your electronic files, as well as your physical files. Please read the "Using Information in the Labels to Manage Electronic Files" section of the Disposition Labels Guidance:

Disposition Labels Guidance

http://intranet.epa.gov/ow/records/docs/disposition_labels_guidance.doc

More information on following disposition instructions is on the *ow/records* site at:

File Closure Crossing presentation from the
Office of Water Records Management Program Open House
<http://intranet.epa.gov/ow/records/docs/openhouse-3.pdf>

Office of Water Records Destruction Form with
Instructions for Destroying Recorded Information
<http://intranet.epa.gov/ow/records/index.htm#DestroyingRecords>

<http://intranet.epa.gov/ow/records>

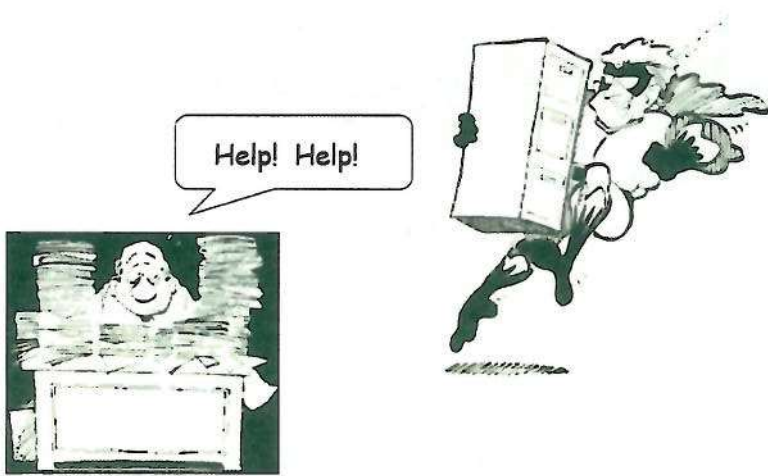
77



We've reached the end of the "Understanding the Basics" presentation. Thank you very much for your time and attention.

<http://intranet.epa.gov/ow/records>

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Help! Help!


And remember ... You don't have to go through this alone. The Office of Water Records Management Program is here to help you meet your records management requirements.

Now, please take the next few minutes to open the file survey form on the *ow/records* site, and look through the instructions, tips, and survey tabs.

<http://intranet.epa.gov/ow/records>

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The End



Miriam G. Wiggins-Lewis
Office of Water Records Liaison Officer
wigginslewis.miriam@epa.gov

<http://intranet.epa.gov/ow/records>

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Records Destruction Form

1. Description
2. Date Range
3. Office of Water Disposition Label

4. Date of Destruction	
5. Medium <input type="checkbox"/> Paper <input type="checkbox"/> Compact Disc (optical media) <input type="checkbox"/> Electronic File (nonremovable media, excluding email) <input type="checkbox"/> Photographic Material <input type="checkbox"/> Diskette (magnetic media) <input type="checkbox"/> Email <input type="checkbox"/> Video Tape <input type="checkbox"/> Audio Tape <input type="checkbox"/> Other (specify)	
6. Volume	
<div>Quantity</div>	<div>Unit of Measurement</div> <div><input type="checkbox"/> Linear Inches <input type="checkbox"/> Manila/Kraft File Folders <input type="checkbox"/> Discs/Diskettes <input type="checkbox"/> KB <input type="checkbox"/> MB <input type="checkbox"/> GB <input type="checkbox"/> Cubic Feet <input type="checkbox"/> Expanding File Folders <input type="checkbox"/> Electronic Files/Emails <input type="checkbox"/> Tapes <input type="checkbox"/> Other (specify)</div>
7. Access Restrictions <input type="checkbox"/> No Restrictions <input type="checkbox"/> Personally Identifiable Information <input type="checkbox"/> Acquisition Sensitive Information <input type="checkbox"/> Privacy Act System of Records <input type="checkbox"/> Confidential Business Information <input type="checkbox"/> Privileged / Confidential Agency Information <input type="checkbox"/> Enforcement Sensitive Information <input type="checkbox"/> Sensitive But Unclassified / Controlled Unclassified Information (CUI) <input type="checkbox"/> Other (specify)	
8. Method of Destruction <input type="checkbox"/> Recycle <input type="checkbox"/> Shred <input type="checkbox"/> Delete <input type="checkbox"/> Other (specify)	
9. Custodian	
10. Custodian's Organization Office of Water /	
11. Records Management Contact	
12. I certify that, to the best of my knowledge, this recorded information is not subject to any current or pending audit, litigation, subpoena, Freedom of Information Act (FOIA) request, or other legal demand for retention or disclosure. <div>(signature and date) Role of Person Signing: <input type="checkbox"/> Custodian <input type="checkbox"/> Records Management Contact <input type="checkbox"/> Other (specify above next to signature)</div>	

Instructions for Destroying Recorded Information

These instructions apply to all recorded information in the Office of Water. Recorded information, also called documentary materials, consists of records, nonrecords, and personal papers (http://intranet.epa.gov/ow/records/docs/ow_records_cheat_sheet_05-23-2007.doc).

Before proceeding with the destruction, use this checklist to be sure that the information is eligible to be destroyed.

<input type="checkbox"/>	Disposition Label:	The file containing the information is correctly labeled according to the Disposition Labels Guidance; and all information in the file matches the records schedule item described on the disposition label. (http://intranet.epa.gov/ow/records/#Disposition)
<input type="checkbox"/>	File Closure:	The file is correctly closed according to the Disposition Labels Guidance.
<input type="checkbox"/>	Date Calculation:	The disposition dates (Close Date, Retire Date, and Final Disposition Date) on the disposition label are correctly calculated. (http://intranet.epa.gov/ow/records/calculator)
<input type="checkbox"/>	Final Disposition Date:	The Final Disposition Date will have occurred by the Date of Destruction.
<input type="checkbox"/>	Final Disposition Action:	The Final Disposition Action on the disposition label is: <input checked="" type="checkbox"/> Destroy
<input type="checkbox"/>	Legal Demand:	The file is not subject to any current or pending audit, litigation, subpoena, Freedom of Information Act (FOIA) request, or other legal demand for retention or disclosure.

General Instructions for Completing the Office of Water's Records Destruction Form

- **Retention Periods of One Year or Longer**

The Records Destruction Form is mandatory for on-site destruction of files that have a total retention period of one year or longer. The total retention period is the time between the Close Date and the Final Disposition Date on the disposition label.

- **Retention Periods of Less than One Year**

The Records Destruction Form is optional for files with a total retention period of less than one year. An example of good business practice in completing a Records Destruction Form for files with a retention period of less than one year is: documenting that personnel files with access restrictions are nonrecord duplicate copies of record copies held by a human resources office and that the duplicate copies are destroyed by shredding.

- **Files with Different File Codes**

The file code is the alpha-numeric identifier in the upper right corner of the disposition label. File codes correspond to disposition instructions for records schedule items. Every records schedule item has its own unique file code. Complete separate Records Destruction Forms for files with different file codes. For example, you would complete separate Records Destruction Forms for files with the file codes CONT 003a, FINA 028e, and PROG 006b.

- **Files with Different Final Disposition Dates**

As a general rule, complete separate Records Destruction Forms for files with different Final Disposition Dates.

In cases where completing separate Records Destruction Forms is excessively burdensome, you may complete one Records Destruction Form for files with different Final Disposition Dates, provided:

- (1) All files have the same file code.
- (2) In Block 1, an explanation is included in the description (for example, "Original travel receipts from 2002, 2003, 2004").
- (3) In Block 2, the date range is from the earliest date to the latest date of the activity documented by all the files, collectively.
- (4) In Block 3, the disposition dates (Close Date, Retire Date, and Final Disposition Date) are for the files that closed the latest.
- (5) In Block 6, the quantity includes all files; and the unit of measurement is applicable to all files.
- (6) In Blocks 4, 5, 7, 8, 9, 10, 11, and 12, the information entered applies to all files.

- **Required Blocks**

All 12 blocks of the Records Destruction Form are required and must be completed.

- **Method of Completing the Records Destruction Form**

Complete the Records Destruction Form electronically or by handwriting. If you complete the form by handwriting, please print or write legibly.

- **Retention of the Records Destruction Form**

Give the signed original of the Records Destruction Form to your Program Office Lead Records Management Contact (<http://intranet.epa.gov/ow/records/#RecordsManagementContacts>) to retain in a file with the disposition label for file code ADMI 307a(2), Records Disposition Files -- Records description and disposition program documentation. Give a copy of the signed Records Destruction Form to the Office of Water Records Liaison Officer.

Block-by-Block Instructions for Completing the Records Destruction Form

1. Description

Briefly describe the files to be destroyed. Enter file names, project titles, unique identifiers, or other information that supplements the records schedule title and item description on the disposition label.

Here are some examples:

Records Schedule Title	Description for Block 1
Contract Management Records	Contract name and number
Information Tracking Systems	Name of electronic information system
Conferences, Seminars, Associations, and Societies Files	Name of conference
Employee Awards Files	Name of award and/or name of employee(s) receiving the award

Include enough information to identify the specific files to be destroyed. Keep in mind that case law cited in guidance from the U.S. Department of Justice on responding to Freedom of Information Act (FOIA) requests states, "absent proof that requested records were destroyed, agency cannot refuse to search for such records simply because they were type of records not required to be retained" (The Department of Justice Guide to the Freedom of Information Act (2009 Edition)). In other words, if you do not have a description to prove that the specific files being requested were destroyed, you still have to conduct a search for them before you respond to the FOIA.

Spell out acronyms. Some acronyms have multiple meanings depending on context. You may know what the acronym means today; but someone else might not understand it years from now.

2. Date Range

The date range is the beginning date and ending date of the period of time during which the activity that is documented by the files occurred.

Usually the date range consists of the earliest and latest dates that appear on the information in the files, such as the date an email is sent, the date correspondence is signed, the date an award is announced. The date range also could include the period of time when the activity was continuing and the files were being used for Agency business. For files that do not contain dates, the records custodian or other person with knowledge of the files should determine the period of time that the activity documented by the files occurred.

Include the complete month, day, and year in the beginning date and ending date of the date range. If the exact dates are not readily available, you may round to the calendar quarter or the fiscal or calendar year, provided that the date range is inclusive. For example, if you are sure the activity began in 1996 and concluded in 2002, but you do not have the exact dates, you could use 01/01/1996 as the beginning date and 12/31/2002 as the ending date.

The ending date in the date range must not be later than the Close Date on the disposition label.

3. Office of Water Records Disposition Label

For Disposition Labels Guidance, go to: <http://intranet.epa.gov/ow/records/#Disposition>.

Insert an Office of Water disposition label using one of the following methods.

- Paste a disposition label in the blank rectangle on the Records Destruction Form.
- Photocopy the disposition label from the file folder onto the back of Records Destruction Form.
- Cut the disposition label off the file folder and staple the label to the Records Destruction Form.
- Ask your Records Management Contact to have a customized Records Destruction Form, with the disposition label inserted electronically, sent to you by email. (Program Office Lead Records Management Contacts: Place the request for the customized Records Destruction Form with the Office of Water Records Liaison Officer.)
- Copy and paste the disposition label electronically into the Records Destruction Form by following the instructions below.

How to Copy and Paste the Disposition Label Electronically

- (1) Find the label.
 - Click on the hyperlink in the file structure spreadsheet on the Office of Water Records Management Program Intranet site.
(<http://intranet.epa.gov/ow/records/#FileStructure>)
- (2) Highlight the label.
 - Click inside the label.
 - Highlight the **entire** label by selecting: Layout, Select, Table (**Alt a c t**). Do **not** attempt to highlight the label by manually clicking and dragging the cursor. This can result in loss of formatting and text.
- (3) Copy the label.
 - Select: Home, Copy (**Ctrl c**).
- (4) Open the Records Destruction Form.
- (5) Unprotect the Records Destruction Form.
 - Select: Review, Protect Document, Restrict Formatting and Editing (**Alt r pr f**). Select: Stop Protection.
- (6) Paste the label.
 - Click in the **white space between** the two small gray form fields inside the blank rectangle that is below the words: "3. Office of Water Disposition Label."
 - Select: Home, Paste as Nested Table (**Ctrl v**).
 - You should see one small gray form field above the pasted label and one small gray form field below the pasted label.
 - Be sure that all the text from the disposition label is visible on the copy that is pasted in the Records Destruction Form. The formatting and text of the label should be identical to the printed label on the file folder.
- (7) Protect the Records Destruction Form.
 - If you do not protect the form after pasting, the check boxes and drop-down form fields will not function.
 - Select: • 2. Editing restrictions, Allow only this type of editing in the document: Filling in forms. • 3. Start enforcement, Yes, Start Enforcing Protection. • OK (leave the password fields blank). • Click the X in the upper right corner of the Restrict Formatting window to close the window.

Be sure the disposition label version still is valid.

- Records schedule changes can cause the information on your disposition label to become out of date and inaccurate.
- You can determine if the disposition label version is valid by comparing the version date in the lower right corner of the label with the "Disposition Label: Version Date" and "Disposition Label: Is Version Valid?" columns in the Office of Water file structure spreadsheet (<http://intranet.epa.gov/ow/records/#FileStructure>). If the label is valid, "Yes" will appear next to the version date in the spreadsheet. If the label is not valid, "No" will appear.
- If the label version is not valid, click on the hyperlink in the spreadsheet to obtain a new label, or see your Records Management Contact for assistance (<http://intranet.epa.gov/ow/records/#RecordsManagementContacts>).

Be sure the records schedule that corresponds to the disposition label is in Final status.

- Final Disposition Action is authorized only for files matched to records schedules in Final status.
- Disposition labels for files matched to records schedules not in Final status will have one of these warning statements:
 - This schedule is in Draft status and may not be used for Final Disposition of records until the schedule is moved to Final status.
 - This schedule is in Development status and may not be used for Final Disposition of records until the schedule is moved to Final status.
- If the records schedule is in Draft or Development status, you must wait until it is moved to Final status before you may proceed with the destruction.

Be aware of records schedule changes in progress.

- The EPA National Records Management Program publishes changes to records schedules each month, usually on the Friday of the first full week of each month.
- The Office of Water Records Management Program publishes a "NOTICE OF TEMPORARY DISPOSITION HOLD" in the Office of Water file structure spreadsheet to alert you to records schedules that are on the list of changes for the current month. The notice asks that you not take any disposition action until the changes are reviewed and the file structure spreadsheet, including disposition label version information, is updated.

Be sure that all three disposition dates (Close Date, Retire Date, and Final Disposition Date) are on the disposition label.

Do not change the information that is printed on the disposition label or add any information to the disposition label, other than the three disposition dates. Information that describes the files and supplements the records schedule title and item description on the disposition label should be entered in Block 1, Description.

Be sure that the Close Date on the disposition label is not earlier than the ending date in the date range in Block 2.

4. Date of Destruction

Enter the complete month, day, and year of the date the files will be destroyed. The Date of Destruction must not be earlier than the Final Disposition Date.

5. Medium

Check the box(es) that correspond(s) to the material in which the files are stored. You may check all media that apply, provided that the information in Blocks 1 through 4 and 7 through 12 apply to all media checked. If there is no applicable check box, check "Other" and specify the medium.

Please note that "Email" refers to medium, not format. If you are deleting emails from your EPA email account, check "Email." If you are destroying emails that have been printed, check "Paper."

6. Volume

Indicate the quantity of files to be destroyed using the easiest and most logical unit of measurement.

Enter an amount in the box for "Quantity"; and check the applicable box for "Unit of Measurement" (for example: 12 Linear Inches; 3 Cubic Feet; 25 Discs/Diskettes; 7 Expanding File Folders; 889 KB). If there is no applicable check box, check "Other" and specify the unit of measurement.

Be sure that the unit of measurement fits the medium checked in Block 5. For example, paper can be measured in inches, feet, or File Folders. Files on a network share drive can be measured in kilobytes (KB), megabytes (MB), gigabytes (GB), or Electronic Files.

Enter only one quantity amount for each unit of measurement, and only one unit of measurement for each quantity amount. If one unit of measurement does not fit all media in Block 5, enter additional quantity amounts and units of measurement in the "Other" space in Block 6. For example, if you have 6 expanding file folders and 3 diskettes, you would enter:

5. Medium	
<input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Compact Disc (optical media)
<input type="checkbox"/> Photographic Material	<input checked="" type="checkbox"/> Diskette (magnetic media)
<input type="checkbox"/> Other (specify)	<input type="checkbox"/> Electronic File (nonremovable media, excluding email)
	<input type="checkbox"/> Email
	<input type="checkbox"/> Video Tape
	<input type="checkbox"/> Audio Tape
6. Volume	
Quantity	Unit of Measurement
6	<input type="checkbox"/> Linear Inches
	<input type="checkbox"/> Manila/Kraft File Folders
	<input type="checkbox"/> Discs/Diskettes
	<input type="checkbox"/> KB
	<input type="checkbox"/> MB
	<input type="checkbox"/> GB
	<input type="checkbox"/> Cubic Feet
	<input checked="" type="checkbox"/> Expanding File Folders
	<input type="checkbox"/> Electronic Files/Emails
	<input type="checkbox"/> Tapes
	<input checked="" type="checkbox"/> Other (specify) PLUS 3 Diskettes

Count one standard records retirement box (10 x 12 x 15 inches) as 1 Cubic Foot.

7. Access Restrictions

If access to the files is not restricted, check "No Restrictions."

If access to the files is restricted, check the box with the applicable restriction. Below are access restrictions definitions derived from EPA training and guidance.

If there is no check box for the access restriction applicable to the files, check "Other" and specify the type of restriction.

Do not include any information that has access restrictions in Block 1, Description.

Access Restrictions Definitions

Acquisition Sensitive Information

Includes contract information that must be protected from public disclosure or from anyone who does not possess a "need to know." Examples include but are not limited to: source selection information, proposals or work plans (technical and financial), work assignments, task orders/delivery orders, invoices and monthly progress reports, deliverables, past performance information, cost or pricing data and indirect costs rates.

Confidential Business Information (CBI)

Includes information that is a trade secret or commercial or financial information from outside parties that has been claimed or determined to be confidential.

Enforcement Sensitive Information

Includes information that would: interfere with ongoing or anticipated enforcement actions; disclose law enforcement techniques or procedures; or reveal the identities of witnesses or confidential informants.

Personally Identifiable Information (PII)

Any information that potentially can be used to identify, contact or locate an individual. Below is a list of common forms of PII:

- full names;
- Social Security numbers;
- dates of birth;
- driver's licenses and passport numbers;
- street addresses;
- telephone numbers;
- email addresses;
- health care record numbers;
- insurance policy numbers;
- client numbers associated with various kinds of applications;
- biometric identifiers (finger and voice prints);
- birth, death and marriage certificates;
- mother's maiden name;
- education and employment records;
- credit card numbers;
- bank account numbers.

Privacy Act System of Records

Any group of records under the control of the Agency from which information is retrieved by personal identifier such as the name of the individual, or a number, symbol, or other unique identifier assigned to the individual. Single Agency records or groups of records which are not retrieved by a personal identifier are not part of a System of Records. Uncirculated personal records maintained by individual employees of the Agency which are prepared, maintained, or discarded at the discretion of the employee and which are not subject to the Federal Records Act, 44 U.S.C. 3101, do not constitute a System of Records; provided that such personal papers are not used by the employee or the Agency to make any determination concerning the rights, benefits, or privileges of individuals, and are not incorporated into an existing System of Records. A System of Records comes under the provisions of the Privacy Act.

Privileged / Confidential Agency Information

Includes information protected by the deliberative process, attorney client, or attorney work-product privileges; pre-decisional budget information; and internal security or vulnerability information.

Sensitive But Unclassified (SBU) / Controlled Unclassified Information (CUI)

Information that has not been classified as National Security Information. SBU/CUI is not classified, but required protection for other reasons. Such information is generally exempt from public disclosure and, depending on the type of information, dissemination may be restricted even within the federal government.

8. Method of Destruction

Check the applicable box to indicate how the files will be destroyed. If there is no applicable check box, check "Other" and specify the method of destruction.

Files with access restrictions must not be left in open recycling bins. They should be shredded or otherwise destroyed in a manner that prevents unauthorized access prior to their destruction.

9. Custodian

Enter the name of the individual who is the holder of the files or who serves as the responsible point of contact for the files.

The custodian may be former personnel if the Records Management Contact and the person signing the certification statement are current personnel.

10. Custodian's Organization

Select the custodian's organization from one of the four drop-down form fields. If you complete the Records Destruction Form by hand, include the complete Program Office or Office of Water Immediate Office, Division, and Branch.

11. Records Management Contact

Enter the name of the custodian's Records Management Contact as shown in the Directory of Office of Water Records Management Contacts (<http://intranet.epa.gov/ow/records/#RecordsManagementContacts>).

12. Certification

Mandatory Records Destruction Forms (for files with retention periods of one year or longer) must be signed by EPA employees. Optional Records Destruction Forms (for files with retention periods of less than one year) may be signed by EPA employees, contractors, or other individuals who are authorized custodians of Office of Water files.

Include: (1) signature; (2) date signed; and (3) role of the person signing the certification statement.

Checklist

Quality Control for Records Destruction Form: Questions to Ask

Instructions

- The correct answer to all questions is "Yes."
- For additional information, see the referenced pages in the Office of Water Records Destruction Form and Instructions for Destroying Recorded Information.

General (pages 2, 3)

- Are **all blocks completed**?
- Is all information on the form **legible**, whether handwritten, electronically entered, or photocopied?

1. Description (page 4)

- Does the description contain **sufficient detail** for the type of files covered by the records schedule item in Block 3 Office of Water Disposition Label?
- Are all **acronyms spelled out**?

2. Date Range (page 4)

- Are **both beginning and ending dates** entered?
- Do both dates include **complete month, day, and year**?
- Is the **ending date on or after the beginning date**?
- Are the beginning and ending dates **consistent with the dates in the files** being destroyed and any accompanying documentation, such as inventory lists, if included?

3. Office of Water Disposition Label (pages 2, 5, 6)

- Is entire disposition label **visible** on the Records Destruction Form, and not cut off?
- Is the disposition label **unaltered**, other than to add the disposition dates?
- Is disposition label version date **valid**?
- Is there **no change in progress** for this records schedule?
- Is the records schedule in **final status**?
- Is the records schedule item an **appropriate match** for the files described in Block 1 Description?
- Are all **three disposition date blocks** completed?
- Is the Close Date consistent with the **Closure Trigger**?
- Is the **Close Date on or after the ending date** in Block 2 Date Range?
- Are the disposition dates on the disposition label **correctly calculated**?
- Has the **Final Disposition Date occurred**?
- Is the Final Disposition Action on the disposition label "**destroy**"?

4. Date of Destruction (page 6)

- Is the Date of Destruction a **complete month, day, and year**?
- Is the Date of Destruction **on or after the Final Disposition Date**?

5. Medium (pages 2, 7)

- If **more than one medium** is checked, is **each medium accounted for** in Block 6 Volume?
- Is the medium an **appropriate match for the records schedule item**?

6. Volume (page 7)

- Is only **one quantity amount** entered for each unit of measurement?
- Is only **one unit of measurement** entered for each quantity amount?
- If **multiple** quantity amounts and units of measurement are applicable, are they entered clearly in the "Other" space?
- Is each unit of measurement an **appropriate match for the medium**?

7. Access Restrictions (pages 7, 8)

- Are the access restrictions **appropriate for the type of files** being destroyed?

8. Method of Destruction (page 9)

- Is the Method of Destruction **appropriate for the Access Restrictions** in Block 7?

9. Custodian (page 9)

- Is a **correctly spelled** custodian name entered?

10. Custodian's Organization (page 9)

- Is the organization that is entered **correct for the Custodian**?
- Are the **complete office, division, and branch** entered?

11. Records Management Contact (page 9)

- Is a **correctly spelled, current** Records Management Contact name entered?

12. Certification Statement (page 9)

- Are both **signature and date** entered?
- Is the "**Role of Person Signing**" checked?
- If "**Other**" is checked, is the Role specified next to the signature?

REPORTS OF WORK TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION

I. Monthly Progress Report

The Contractor shall furnish two (2) copies of a combined monthly technical and financial progress report briefly stating the progress made, including the percentage of the project completed during the reporting period. The Contractor shall also furnish electronic copies of the combined monthly technical and financial progress reports to the Contract Level Contracting Officer Representative (CL-COR) and Alternate CL-COR.

For this contract, the work is ordered using task orders. The Contractor is to include the percentage of work ordered and completed during the reporting period. Specific discussions shall include: activities undertaken, deliverables submitted, difficulties encountered, remedial action taken during the reporting period, and anticipated activity during the subsequent reporting period. In addition, the report shall specify contract financial status as follows:

- (a) For term form task orders, provide:
 - (1) Cumulative totals for the contract amounts obligated, amounts claimed, and remaining available funds. Available funds are defined as the total obligated amount less total funds claimed.
 - (2) Cumulative labor hours and dollars, broken out by prime contractor and subcontractor labor category, expended from the effective date of the contract through the last day of the current reporting month. Actual costs and direct labor hours expended during the current reporting month.
 - (3) Estimated costs and direct labor hours to be expended during the next reporting period.
 - (4) Actual costs and direct labor hours incurred for each task order issued and estimates of costs and man-hours required to complete each task order.
- (b) For completion form contracts, provide a graph using a vertical axis for dollars and a horizontal axis for time increments that shows the actual and projected rate of expenditures against the total estimated cost of the contract.
- (c) This submission does not change the notification requirements of the "Limitation of Cost" or "Limitation of Funds" clauses requiring separate written notice to the Contracting Officer.
- (d) The reports shall be submitted to the CL-COR via email and to the Contracting Officer via FedConnect on or before the 20th of each month following the first complete calendar month of the contract.

Distribute reports as follows:

Contract Level COR	2 copies
Contracting Officer	FedConnect

II. Draft Final Reports

At least 30 days prior to the completion of the period of performance, the Contractor shall submit to the EPA (CL-COR) two (2) copies of the Draft Final Report. The Contractor shall, in addition, furnish the EPA Contracting Officer with one (1) copy of the letter transmitting the Draft Final Report via FedConnect.

The Draft Final Report should summarize the progress made in all task order areas during the term of the contract, noting the percentage(s) of work completed, as well as unfinished tasks. The Report should also include a brief discussion of difficulties encountered and remedial action(s) taken in each task order area during the reporting period.

In addition, the Report shall specify contract financial status in each task order area as follows:

- (1) Total cumulative costs and direct labor hours expended from the effective date of the contract through the last day of the contract period. Include a cumulative incurred cost per direct labor hour average computation, and compare the result to the cumulative average cost per direct labor hour derived from the estimated cost of the contract.
- (2) Actual costs and direct labor hours expended during the contract period.
- (3) Actual costs and direct labor hours expended for each task order issued.
- (4) A graph using a vertical axis for dollars and a horizontal axis for time increments which depicts the projected and actual rate of expenditures against the total estimated cost of the contract.

The Government will review and return each submission of the Draft Final Report indicating approval or disapproval (and comments, if necessary), within fourteen (14) calendar days of its receipt. The Draft Final Report should include all illustrations, tables, drawings, charts, data sheets, and other pertinent materials required for an approved Final Report.

III. Final Reports

Within 7 days of the conclusion of the period of performance, the Contractor shall deliver one (1) copy of the approved Final Report to the EPA Contracting Officer via FedConnect, and two (2) copies to the EPA Contract Level Contracting Officer Representative (CL-COR).

IV. Special Reports

Additional reporting requirements may be identified in task orders. Delivery schedules, number of copies, format, and distribution will also be identified in the task orders. In general, reports shall be submitted to the EPA Task Order Contracting Officer Representative (TOCOR) in hard copy as well as electronically in Microsoft Word format or other format as specified by the Task Order Contracting Officer Representative (TOCOR).

**DEFINITION OF LABOR CLASSIFICATIONS
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

The following definitions of the labor classifications are provided to aid in the preparation of the technical and cost portions of your proposal.

(a) Professional

(1) **Level 4** - Plans, conducts, and supervises projects of major significance, necessitating advanced knowledge and the ability to originate and apply new and unique methods and procedures. Supplies technical advice and counsel to other professionals. Generally operates with wide latitude for un-reviewed action.

Typical Title: Project Manager, Quality Assurance Officer, Water Resource Engineer, Environmental Engineer, Environmental Scientist, Chemist, Biologist, Computer Scientist, Statistician, Economist, Ecologist, Contract Administrator
Normal Qualifications: Ph.D. Degree or equivalent
Typical Experience: 10 years or more

(2) **Level 3** - Under general supervision of project leader, plans, conducts and supervises assignments normally involving smaller or less important projects. Estimates and schedules work to meet completion dates. Directs assistants, reviews progress, and evaluates results, makes changes in methods, design or equipment where necessary. Operates with some latitude for un-reviewed action or decision.

Typical Title: Water Resource Engineer, Environmental Engineer, Environmental Scientist, Computer Scientist, Graphics/Editorial/Public Outreach Specialist, Chemist, Biologist, Environmental Planner Economist, Ecologist Statistician, Meeting Facilitator
Normal Qualifications: Master's Degree or equivalent
Normal Experience: 6 years or more

(3) **Level 2** - Under supervision of a professional level 3 or 4, carries out assignments associated with specific projects. Translates technical guidance received from supervisor into usable data applicable to the particular assignment; coordinates the activities of a technician level 1 or 2. Work assignments are varied and require some originality and ingenuity.

Typical Title: Environmental Engineer, Environmental Scientist, Systems Analyst/Programmer, Chemist, Biologist, Statistician, Economist, Environmental Planner, Ecologist, Computer Graphics/Graphic Designer, Technical Editor/Information Specialist, Meeting Planner Coordinator, Contract Administrator, Videographer
Normal Qualifications: Bachelor's Degree or equivalent
Typical Experience: 3 years or more

- (4) **Level 1** - Lowest of entering classification. Works under close supervision of professional level 3 or 4. Gathers and correlates basic data and performs routine analyses. Works on less complicated assignments where little evaluation is required.

Typical Title: Environmental Engineer, Environmental Scientist, Computer Systems/Graphic Specialist, Technical Editor/Writer, Environmental Planner, Lab Technician, Public Information Specialist, Data Entry Specialist, Meeting Planner/Coordinator, Environmental Specialist, Contract Administrator
Junior, Associate

Normal Qualifications: Bachelor's Degree or equivalent

Typical Experience: 0 years or more

NOTE: See Level of Effort Distribution Table under Cost Proposal Instructions (L-24 Local Clauses EPA-L-36-101 Proposal Instructions) for additional information regarding the alignment of professional levels.

(b) Experience/Qualification Substitutions

- (1) Any combination of additional years of experience in the proposed field of expertise and/or full time college level study in the particular field totaling four years will be an acceptable substitute for a Bachelor's Degree.
- (2) A Bachelor's Degree plus any combination of additional years of experience in the proposed field of expertise and/or graduate level study in the proposed field of expertise totaling two years will be an acceptable substitute for a Master's Degree.
- (3) A Bachelor's Degree plus any combination of additional years of experience in the proposed field of expertise and/or graduate level study in the proposed field of expertise totaling four years or a Master's Degree plus any combination of additional years of experience in the proposed field of expertise and/or graduate level study in the proposed field of expertise totaling two years will be an acceptable substitute for a Ph.D. Degree.
- (4-) Additional years of graduate level study in an appropriate field will be considered equal to years of experience on a one-to-one basis.

QUALITY ASSURANCE SURVEILLANCE PLAN
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION

Performance Requirement	Measureable Performance Standards	Surveillance Method	Incentives/ Disincentives
<p>Management and Communications:</p> <p>The Contractor shall maintain contact with the EPA CO, CL-COR, and TOCOR throughout the performance of the contract/task order and shall immediately bring potential problems to the attention of the EPA CL-COR and appropriate TOCOR. In cases where issues have a direct impact on project schedules, cost, time, or quality, the contractor shall provide options for EPA's consideration on resolving the issues or mitigating their impacts.</p>	Any issue adversely impacting project schedules, cost, time or quality shall be brought to the attention of the EPA CL-COR and appropriate TOCOR within 3 work-days of occurrence.	50% of active task orders/deliverables will be reviewed by the EPA CL-COR/TOCOR (via monthly progress report) to identify unreported issues.	<p>Two or more incidents per task order where the contractor does not meet the measureable performance will be considered unsatisfactory performance and will be reported as such in the CPARS Performance Evaluation System under the category of Management.</p> <p>Fewer than two incidents per task order where the contractor does not meet the measureable performance standard will be considered acceptable performance and will be reported as such in the CPARS Performance Evaluation System under the category of Business Relations.</p>
<p>Timeliness:</p> <p>Services and deliverables shall be in accordance with schedules slated in each task order, unless amended or modified by an approved EPA action.</p>	No more than 25% of all deliverables per task order shall be submitted more than 3 work days past the due date.	100% of the active task orders/deliverables under the contract will be reviewed by the EPA CL-COR/TOCOR monthly (via monthly progress report & milestones established for each deliverable) to compare actual	If the contractor does not meet the measurable performance standards per task order it will be assigned a rating of Unsatisfactory in CPARS under the category of Schedule .

Performance Requirement	Measureable Performance Standards	Surveillance Method	Incentives/ Disincentives
		delivery dates against those approved.	
<p>Cost Management and Control:</p> <p>The Contractor shall monitor, track, and accurately report cost and fee expenditures to EPA through progress reports and approved special reporting requirements. The Contractor shall assign appropriately leveled and skilled personnel to all tasks, practice and encourage time management, and ensure accurate and appropriate cost control.</p>	<p>The contractor shall manage costs to the level of the approved ceiling on the individual task order. The contractor shall notify the TOCOR, CL-COR and CO when 75% of the approved funding ceiling for any particular task order is reached.</p>	<p>100% of the active task orders under the contract will be reviewed by the CL-COR and appropriate TOCOR monthly (via meetings, monthly progress reports & milestones established for each deliverable) to compare actual versus projected expenditures.</p>	<p>If the contractor does not meet the measurable performance standards per task order it will be assigned a rating of Unsatisfactory in CPARS under the category of Cost Control.</p> <p>An acceptable rating will be reported in the CPARS Performance Evaluation System under the category of Cost Control if the contractor meets the measureable performance standards and accurately reports the costs in the progress reports according to the requirements in the "Reports of Work" attachment to the RFP.</p>
<p>Technical Effort:</p> <p>The Contractor shall abide by its QMP and QAPPs for individual task orders in performing services and providing the support on this contract.</p>	<p>No more than 25% of deliverables and work products for any particular Task Order furnished to EPA for review by TOCOR and QAO shall require revisions to meet the requirements of the QMP and QAPP for the task order.</p>	<p>50% of active task orders/deliverables (and work products) will be reviewed by the EPA CL-COR/TOCOR to identify noncompliance issues with the QMP and QAPPs for individual task orders.</p>	<p>If the contractor does not meet the measurable performance standards per task order it will be assigned a rating of Unsatisfactory in CPARS under the category of Technical.</p>

**CONTRACTOR'S QUALITY MANAGEMENT PLAN (QMP)
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

TO BE INSERTED AT THE TIME OF AWARD

**CONTRACTOR'S ORGANIZATIONAL CONFLICT OF INTEREST (OCOI) PLAN
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

TO BE INSERTED AT THE TIME OF AWARD

**CONTRACTOR'S SMALL BUSINESS SUBCONTRACTING PLAN
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

TO BE INSERTED AT THE TIME OF AWARD

**CLIENT AUTHORIZATION LETTER
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

(Address)

Dear “Client”:

We are currently responding to the U.S. Environmental Protection Agency Request for Proposal (RFP) No. SOL-CI-16-00037 entitled “Technical Support for Assessment and Watershed Protection”. The EPA is placing increased emphasis in their acquisitions on past performance as a source selection factor. EPA requires offerors to inform references identified in proposals that EPA may contact them about past performance information.

If you are contacted by EPA for information on work we have performed under contract for your company, you are hereby authorized to respond to EPA inquiries.

Your cooperation is appreciated. Any questions may be directed to:

Sincerely,

**PAST PERFORMANCE QUESTIONNAIRE
SOURCE SELECTION SENSITIVE INFORMATION
TECHNICAL SUPPORT FOR ASSESSMENT AND WATERSHED PROTECTION**

Name of Offeror:

Contract Information:
(Supplied by offeror in proposal, or obtained by EPA)

Evaluator's Organization:

Contract Number:

Contract Title:

Contract Value:

Type of Contract:

Period of Performance:

The ratings indicated below are to be supplied by the evaluator identified above and **not** the offeror. Please see page 2 for detailed explanation of narratives supporting the "Performance Elements" ratings below:

Performance Elements	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional
1) Technical (Quality of Product or Service)					
2) Schedule					
3) Cost Control (N/A for FFP)					
4) Management					
5) Regulatory Compliance					

6) Please identify corporate affiliations that you have with the offeror, if any.

7) Would you do business with the offeror again?

8) Information provided by:

Name of Source _____
Title _____
Date _____
Address _____
Phone number _____

9) Questionnaire received by:

Name of EPA
Employee _____
Title _____
Date _____
Signature _____

**NOTE: PLEASE SEND COMPLETED QUESTIONNAIRES DIRECTLY TO
BRAD HEATH VIA E-MAIL TO HEATH.BRAD@EPA.GOV**

Narratives supporting “Performance Elements” ratings for chart on Page 1.

Technical (Quality of Product or Service): Evaluation of the contractor’s technical performance or progress toward meeting requirements. Assess the quality of deliverables relative to performance parameters required by the contract.

Schedule: Evaluation of the timeliness of the contractor against the milestones, delivery schedules, and administrative requirements established in the contract or task order. Assess the contractor's adherence to those required delivery schedule by assessing the contractor's efforts and the effectiveness of contractor corrective actions, if they were required.

Cost Control: Evaluation of the contractor’s effectiveness in forecasting, managing, and controlling contract cost. Assess whether the contractor demonstrated a sense of cost responsibility, through the efficient use of resources, in each work effort assessed. If there was an overrun or a need to increase the estimated cost, discuss that in the evaluation.

Management: Assess the extent to which the contractor discharges its responsibility for integration and coordination of all activities needed to execute the contract/order; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by the contract/order; communicates appropriate information to affected program elements in a timely manner. Assess the contractor’s risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract/order, or that cannot be captured elsewhere under this element.

Regulatory Compliance: Assess compliance with all terms and conditions in the contract/order relating to applicable regulations and codes. Consider aspects of performance such as compliance with financial, environmental (i.e., Clean Air Act, Clean Water Act, etc.), safety, and labor regulations, as well as any other reporting requirements in the contract.